

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Thomas W. Hagler  
Title: Method and Apparatus for Spectrum Analysis and Encoder  
Application No.: 09/869,371 Filing Date: February 26, 2002  
Examiner: Zandra V. Smith Group Art Unit: 2877  
Docket No.: SPEC.001US4 Conf. No.: 2871

Certificate of Mailing Under 37 CFR 1.8

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on April 2, 2004

*Tracy M. Smith*

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Dear Sir:

Pursuant to 37 C.F.R. §§ 1.56, 1.97 and 1.98, Applicant(s) call(s) the documents listed on the enclosed Form PTO-1449 to the Examiner's attention in this patent application.

- ☐ Copies of the documents listed on the accompanying Form PTO-1449 are enclosed.
- ☒ Copies of the documents listed on the accompanying Form PTO-1449 that are not enclosed were previously submitted in Application(s) No. 09/846,583 filed May 1, 2001 and 09/105,279 filed June 26, 1998, from which this Application claims an earlier effective filing date.

04/07/2004 CCHAU1  
01 FC:1806

00000113 09869371

180.00 OP

Attorney Docket No.: SPEC.001US4

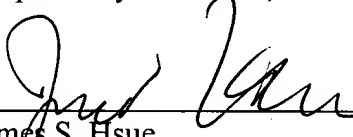
Application No.: 09/869,371

☐ This application has a filing date after June 30, 2003. Copies of the U.S. Patent(s) and U.S. Published Patent Application(s) documents listed on the accompanying Form PTO-1449 are not enclosed.

Citation of these documents shall not be construed as (1) an admission that the documents are prior art with respect to the invention or inventions claimed in this application, (2) a representation that a search has been made (other than as indicated by any cited document), or (3) an admission that the cited information is, or is considered to be, material to patentability as defined in § 1.56(b).

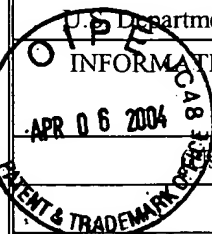
This information disclosure statement is submitted under 37 C.F.R. § 1.97(c). A check including \$180.00 for the information disclosure statement fee under 37 C.F.R. § 1.17(p), is enclosed. The Commissioner is authorized, however, to charge any fee that may be required, or to credit any overpayment, against Deposit Account No. 502664. This form is being submitted in duplicate.

Respectfully submitted,

  
James S. Hsue  
Reg. No. 29,545

4/1/04  
Date

PARSONS HSUE & DE RUNTZ LLP  
655 Montgomery Street, Suite 1800  
San Francisco, CA 94111  
(415) 318-1160 (main)  
(415) 318-1162 (direct)  
(415) 693-0194 (fax)

U.S. Department of Commerce, Patent and Trademark		Atty. Docket No.	Application No.
INFORMATION DISCLOSURE STATEMENT BY REQUESTOR		SPEC.001US4	09/869,371
 (Use several sheets if necessary)		Applicant(s)	
		Thomas W. Hagler	
		Filing Date	Group
		February 26, 2002	2877

## U.S. Patent Documents

*Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date If Appropriate
	001	3,563,654	2/1971	Vermande			
	002	3,578,980	5/1971	Decker			
	003	3,586,442	6/1971	Tripp			
	004	3,636,062	2/1972	Girard			
	005	3,640,625	2/1972	Ibbett			
	006	3,922,092	11/1975	van den Bosch			
	007	4,007,989	2/1977	Wajda			
	008	4,264,205	4/1981	Landa			
	009	4,304,491	12/1981	Kraushaar			
	010	4,448,529	5/1984	Krause			
	011	4,450,459	5/1984	Turner et al.			
	012	5,024,508	6/1991	Horner			
	013	5,090,807	2/1992	Tai			

## U.S. Published Patent Application Documents

*Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date If Appropriate
	014	2004/0021078	2/2004	Hagler			

## Foreign Patent Documents

							Translation	
		Document	Date	Country	Class	Subclass	Yes	No
	015	GB 672758A	5/1952	Great Britain			X	
	016	WO 97/31245	8/1997	International			X	

## OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

	017	"Static Multislit Spectroscopy and Its Application to the Panoramic Display of Infrared Spectra," Marcel J.E. Golay, Journal of the Optical Society of America, Vol. 41, No. 7, July 1951, pp. 468-472.						
--	-----	---	--	--	--	--	--	--

Examiner

Date Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with your communication to applicant.

U.S. Department of Commerce, Patent and Trademark				Atty. Docket No.		Application No.	
INFORMATION DISCLOSURE STATEMENT BY REQUESTOR				SPEC.001US4		09/869,371	
				Applicant(s)			
(Use several sheets if necessary)				Thomas W. Hagler			
				Filing Date		Group	
				February 26, 2002		2877	
<b>U.S. Patent Documents</b>							
*Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date If Appropriate
	018	5,121,239	6/1992	Post			
	019	5,235,461	8/1993	Kirsch			
	020	5,325,324	6/1994	Rentzepis			
	021	5,483,335	1/1996	Tobias			
	022	5,485,268	1/1996	Tobias			
	023	5,504,575	4/1996	Stafford			
	024	5,537,303	7/1996	Stacy			
	025	5,579,105	1/1996	Belton			
	026	5,592,327	1/1997	Gabl			
	027	5,691,886	11/1997	Stacy			
	028	5,748,308	5/1998	Lindberg			
	029	5,991,460	11/1999	Mitchell			
	030	6,011,640	1/2000	Hutton			
	031	6,018,402	1/2000	Campbell			
	032	6,101,034	8/2000	Cox			
<b>OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)</b>							
	033	"Multi-Slip Spectrometry," Marcel J.E. Golay, Journal of the Optical Society of America, Vol. 39, No. 6, June 1949, pp. 437-444.					
	034	"A Multiplex Grating Spectrometer," J.F. Grainger et al., Journal de Physique, Colloque C2, supplemental au no. 3-4, Tome 28, Mars-Avril 1967, pp. C2-44 - C2-52.					
	035	Search Report mailed 10/21/99					
	036	International Search Report mailed 1/11/00					
Examiner			Date Considered				
<p>*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with your communication to applicant.</p>							